

TMF Capacity Assessment Form for Noncommunity Water System SDWSRF Applicants

Water System Name:

System Number:

Person completing this assessment:

Name

Title

Signature

Date

SDWSRF Pre-Application Project Number(s): _____

Background & Instructions

The 1996 Federal Safe Drinking Water Act requires each state that establishes a Safe Drinking Water State Revolving Fund (SDWSRF) Program to assess the Technical, Managerial, and Financial (TMF) Capacity of each applicant applying for funding. Federal law prohibits states from providing any SDWSRF Program assistance to a public water system that does not have the TMF Capacity to ensure compliance with applicable Safe Drinking Water Act laws and regulations. However, Federal law allows states to provide SDWSRF Program assistance to water systems that do not have sufficient TMF Capacity as long as the capacity can be developed and the water systems agree to take the necessary actions to develop the capacity.

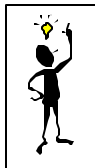
This form will be used by the Department to assess the TMF Capacity of noncommunity water system SDWSRF Program applicants. **Each public water system that is invited to submit a SDWSRF Program application must complete this form.** Failure to complete and return the form to the Department will prevent the Department from assessing the TMF Capacity of that public water system and effectively prohibit the Department from providing that water system with any project funding from the SDWSRF program.

All public water systems applying for SDWSRF Program assistance must possess some elements of TMF Capacity at the time the SDWSRF Program can make an offer of funding. These elements are labeled "*Capacity Elements Required Prior to the Issuance of the NOAA (Notice of Application Acceptance)*" in this form. Other elements are not necessary at the time of application but must be developed by the water system within an agreed upon time frame. These elements are labeled "*Capacity Elements Required to be Developed*" in this form. **Even though these capacity elements are not required at the time of application, adequate information must be submitted to enable the Department to assess a water system's ability to comply.**

Water System: _____

June 19, 2002

The Department is committed to helping systems qualify for SDWSRF funding. Small water systems that cannot demonstrate adequate capacity will be provided with direct assistance in order to develop the needed capacity. **In order to process the application, the TMF Assessment must be completed. If assistance is needed, it is critical that all information that the Department requests is provided in a timely manner.**



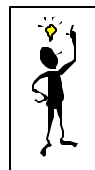
HELPFUL HINTS: This form asks you to submit a number of attachments. If you have already provided this information to the Department, or to your local County Environmental Health Department, use the space provided for comments to indicate when and how it was submitted. You may contact the local Department office or County Environmental Health Department if you have questions about whether items you have submitted fulfill the requirements contained in this form.

Technical Capacity - Mandatory

A. System Description

“As-built” maps or drawings that show the location of all of the facilities in the system and maps that show the existing and future service areas, sources of supply and contamination hazards, and other critical facilities are essential to the operation of any water system. To be useful beyond the date they are prepared, the water system should have a method to keep the maps updated as changes occur. Knowing the location, type of materials, etc., of water mains or other facilities is necessary in order to check, repair or replace them. Similarly, it is essential during an emergency to know where the isolation valves are.

Capacity Elements Required Prior to the Issuance of the NOAA (Notice of Application Acceptance):



Helpful Hint: Check with regulator to see if adequate system map is already on file.

The items listed below **must be submitted with this form** as part of the final SDWSRF application. Check the box next to each item submitted with this form. Please check the boxes marked ‘*Not Applicable*’, if appropriate, so we know those items were addressed.

Map(s) that show:

- ☐ Current service area.
- ☐ Location of existing and proposed facilities (e.g. each water source, treatment facility, pumping plant, storage tank, and pressure zone in the system, as well as all distribution system piping).

Comments _____

Water System: _____

Revision Date 06/19/02

B. Technical Evaluation

This section of the TMF Capacity Criteria for noncommunity water systems requires that the feasibility of consolidation with other public water systems be assessed. However, the engineering report required with the SDWSRF application also requires that consolidation with other public water systems be assessed as one of the project alternatives. Therefore, no information need be submitted with this form regarding consolidation with other public water systems.

C. Certified/Qualified Operators

The California Code of Regulations, Title 22, requires certified operators for public water systems. In addition, all public water systems must be under the operational control of an appropriately certified operator in order to assure reliable compliance with drinking water standards.

Capacity Elements Required Prior to the Issuance of the NOAA (Notice of Application Acceptance):

The items listed below **must be submitted with this form** as part of the final SDWSRF application. Check the box next to each item submitted with this form.

- ☐ *For water systems where treatment is provided or proposed as part of SDWSRF project:* Documentation of appropriately certified operator(s) who are responsible for the operation of the water system and treatment facilities.

Does the water system have a state certified operator?

☐ Yes ☐ No

If Yes, attach name, grade and certification number of each operator.

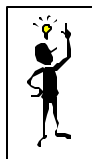
- ☐ For water systems where no treatment is provided: Provide the name and a copy of the Distribution Operator's certificate in accordance with Title 22, Section 63750.10 - 64413.7, for the person(s) operating the water system.
- ☐ *If the operators have not been hired:* Provide a plan and schedule for hiring the required certification grade or qualification of operator.
- ☐ A description of the relevant training and experience of persons responsible for the operation of the water system.

Comments _____

Managerial Capacity- Mandatory

D. Ownership

In order to determine accountability for compliance with California SDWA requirements, the owner(s) of the water system must be clearly identified. It is also essential that the system demonstrate that they own or control the facilities necessary for the operation of the system.



Helpful Hint: A copy of the title sheet from the “Deed-of-Trust” for the parcel the well is located on will help to document ownership and water rights. Capacity Elements Required Prior to the Issuance of the NOAA (Notice of Application Acceptance):

The items listed below **must be submitted with this form** as part of the final SDWSRF application. Check the box next to each item submitted with this form. Please check the boxes marked ‘*Not Applicable*’, if appropriate, so we know those items were addressed.

- ☐ Description of the type of system ownership (e.g., sole proprietorship, partnership, corporation, mutual, governmental agency) along with the name(s), address(es), and phone number(s) of the owner(s).
- ☐ List of any public water systems that are or have been owned by the applicant (solely, in partnership, as a corporation, etc.). ☐ *Not Applicable*
- ☐ List of any public water systems that the applicant previously operated or is currently operating under contract for another owner or entity. ☐ *Not Applicable*
- ☐ *Systems that use, but do not own, land or facilities that are essential to water system operation: Provide a copy of term(s) of agreement for the long-term use of land or facilities not owned by the system.* ☐ *Not Applicable*
- ☐ *Systems with a sole proprietor: A contingency plan for continuing operations in the event the owner becomes incapable of carrying out his/her responsibilities.* ☐ *Not Applicable*
- ☐ Disclosure of any encumbrances, trust indentures, bankruptcies, decrees, legal orders or proceedings, or other items that may affect or limit the owner’s control of the water system.

Comments _____

E. Organization

A clear description of the organization including a functional organization chart is essential for every water system. This establishes the lines of authority and communication between employees and management and helps to avoid confusion, mistakes, or misunderstandings in the daily operation and management of the system. It is also essential to define the respective roles of each person to avoid duplication and confusion, and to ensure that all essential functions are covered.

Capacity Elements Required Prior to the Issuance of the NOAA (Notice of Application Acceptance):

The items listed below **must be submitted with this form** as part of the final SDWSRF application. Check the box next to each item submitted with this form. Please check the boxes marked 'Not Applicable', if appropriate, so we know those items were addressed.

- ☐ A complete description of the reporting relationships and primary responsibilities of all key personnel that will be involved in the management or operation of the water system (including employees and contract personnel). This includes name(s), position(s) and title(s) of those responsible for establishing policies, for ensuring compliance with state regulatory drinking water requirements, and for day-to-day operation of the water system.
- ☐ A description of the relevant training and experience that persons responsible for the management of the water system have received.
- ☐ A description of how legal, engineering, and other professional services will be provided.
- ☐ *If the person in charge of system operation has other responsibilities unrelated to the water system:* Description of these other responsibilities and how much time is dedicated to the operation of the water system. The system Operations Plan may be used as part of this demonstration. ☐ *Not Applicable*
- ☐ *Systems that contract for system management or operation:* Attach a copy of the contract between the water system and the contractor, showing the contractor's duties and responsibilities and the amount of time to be spent performing the specified duties. ☐ *Not Applicable*

Comments _____

F. Water Rights

Water systems must demonstrate that they have a legal right to the quantity of water necessary to assure an adequate and reliable drinking water supply. A copy of any documentation showing the water right should be maintained as part of the system records

Capacity Elements Required Prior to the Issuance of the NOAA (Notice of Application Acceptance):

The items listed below **must be submitted with this form** as part of the final SDWSRF application if they are applicable to the water system source(s). Check the box next to each item submitted with this form. Please check the boxes marked 'Not Applicable', if appropriate, so we know those items were addressed.

- ☐ *If the source of water for the system is groundwater from an unadjudicated basin, check this box Provide a copy of the title sheet of the "Deed-of-Trust".*
- ☐ Information that describes the legal basis and authority for diversion or extraction of water. This may include documents such as permits, licenses, or other agreements showing all water rights owned or controlled by the system, or a letter of confirmation from the authority that granted each of the water rights held by the system. ☐ *Not Applicable*
- ☐ *If the source water is subject to permit requirements under the State Water Resources Control Board: A copy of the water rights permit.* ☐ *Not Applicable*
- ☐ *If water is pumped from an adjudicated groundwater basin: Documentation of approval for extraction of water from the basin watermaster.* ☐ *Not Applicable*

Comments _____

Financial Capacity- Mandatory

G. Budget Projection

The budget projection is a written financial plan for the operation of the water system over the next five years. This is a critical feature of the TMF Capacity assessment because it indicates whether the system's revenues and reserves will meet the water system's expenses. It also is a necessary tool that will enable the water system to plan for future needs.

Capacity Elements Required Prior to the Issuance of the NOAA (Notice of Application Acceptance):

The item listed below **must be submitted with this form** as part of the final SDWSRF application. Check the box next to the item when submitted with this form.

☐ Five-year projection of anticipated revenues and expenditures for the water system. The budget projection must include the projected receipt of loan monies from the SDWSRF program, as well as the expenses for completion of the SDWSRF project. If there is no revenue generated from operation of the water system, only expense data must be supplied. . DHS can supply an example of a 5-year budget projection upon request.

Comments _____

Technical Capacity - Necessary

H. Operations Plans

A comprehensive water system operations plan is necessary to ensure that all operations personnel (full time, part time, on call, and new employees) have a standard set of procedures for the routine operation the water system. Systems providing any type of water treatment are required to develop a treatment plant Operations Plan. Water system managers should develop the system Operations Plan with operating personnel and establish procedures to review all plans annually with operators.

Capacity Elements Required to be Developed:

Water System: _____

Revision Date 06/19/02

The items listed below do not have to be submitted at the time of application but must be developed within an agreed upon time frame. However, if the water system already has any Operations Plans that include any of the elements listed below, check the appropriate boxes and attach the plans to this form. Please check the boxes marked 'Not Applicable', if appropriate, so we know those items were addressed.

- ☐ For systems utilizing a surface water source: A Department-approved SWTR Operations Plan. ☐ Not Applicable, not using surface water
- ☐ For systems providing any other water treatment (including chlorination): A Department-approved treatment plant Operations Plan, which should address process monitoring, response to violations, and reporting. ☐ Not Applicable
- ☐ A system Operations Plan that addresses how the water system will be operated to comply with drinking water requirements and the California Waterworks Standards. The plan must address the following items:
- ☐ Daily operational practices.
 - ☐ Emergency operational practices.
 - ☐ Flushing dead-end mains.
 - ☐ Storage tank inspection and cleaning.
 - ☐ Main repair and replacement.
 - ☐ Consumer complaint response procedures.
 - ☐ Maintenance and testing of backflow prevention devices.
 - ☐ Inspecting and exercising water main valves.
 - ☐ Maintenance of master flow meters.
 - ☐ Responsibilities of operating personnel.
 - ☐ Operation of all production, transmission and distribution facilities.
 - ☐ Procedures to assess increasing concentrations in water quality parameters from source water quality monitoring data.
 - ☐ Record keeping.
 - ☐ A maintenance plan for all facilities to be constructed under the Drinking Water State Revolving Fund program.
- ☐ Procedures to review and update all Operations Plans every five years.

Comments _____

Managerial Capacity- Necessary

I. Emergency/Disaster Response Plan

In order to provide reliable service and to minimize public health risks from unsafe drinking water during emergencies, water systems should have a plan that defines how it will respond to emergencies and disasters that are likely to affect its operation.

Capacity Elements Required to be Developed:

The item listed below does not have to be submitted at the time of application but must be developed within an agreed upon time frame. However, if the water system already has a plan, which includes any of the elements listed below, check the appropriate boxes and attach the plan to this form.

- ☐ An Emergency/Disaster Response Plan. The plan must address the following items:
 - ☐ All disasters and emergencies that are likely to occur in the water system's service area. As a minimum, all water systems must address earthquake and major fire emergencies. Other potential emergencies that may occur in a water system's service area include flooding, water outages, process control failures, and water contamination.
 - ☐ Designation of responsible personnel; and outline of the reporting chain of command; and identification of responsibilities of personnel during the emergency/disaster.
 - ☐ Steps that will be taken to cease operation until the water system is restored.
 - ☐ Emergency procedures to quickly assess damage to water system facilities; provide logistics for emergency repairs; monitor progress of repairs and restoration; communicate with health officials and water users; and document damage and repairs.
 - ☐ Steps that will be taken to resume normal operations and to prepare and submit reports to appropriate agencies.

Comments _____

